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| APPLICATION NUMBER | FILING RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|---------------------------|
| 09/943,857 | 08/31/2001 | Jei-Fu Shaw | 08919-066001 / 09A-900517 |

CONFIRMATION NO. 2196

FORMALITIES LETTER



OC000000006926952

Y. ROCKY TSAO
Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110-2804

Date Mailed: 10/18/2001

NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

*A copy of this notice **MUST** be returned with the reply.*

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PART 2 - COPY TO BE RETURNED WITH RESPONSE



Attorney's Docket No.: 08919-066001 / 09A-900517 / *0300* *10/24/2001*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Jei-Fu Shaw et al. Art Unit : 1645
Serial No. : 09/943,857 Examiner : Unknown
Filed : August 31, 2001
Title : RECOMBINANT CANDIDA RUGOSA LIPASES

BOX SEQUENCE

Commissioner for Patents
Washington, D.C. 20231

**RESPONSE TO NOTICE TO COMPLY WITH REQUIREMENTS
FOR PATENT APPLICATIONS CONTAINING
NUCLEOTIDE AND/OR AMINO ACID SEQUENCES**

In response to the communication dated October 18, 2001 (copy enclosed), applicants submit herewith a Sequence Listing in computer readable form as required by 37 CFR §1.824. In addition, applicants submit an initial Sequence Listing as required under 37 CFR §1.823(a) and a statement under 37 CFR §1.821(f).

Applicants respectfully requests entry of the paper copy and computer readable copy of the Sequence Listing filed herewith for the instant application. Furthermore, applicants request entry of the following amendments.

In the specification:

Insert the paper copy of the Sequence Listing filed herewith following the Oath/Declaration.

Replace the paragraph beginning at page 14, line 4, with the following rewritten paragraph:

The polypeptide having the amino acid sequence of SEQ ID NO:2 differs from the wild-type *C. rugosa* lipase 2 a N-terminal peptide (i.e., SMNSRGPAGRLGS (SEQ ID NO:11)), and 4

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

10/24/2001
Date of Deposit

[Signature]
Signature

Robert R. West
Typed or Printed Name of Person Signing Certificate

amino acids (i.e., A1V; T35S; R78L; H79D). The polypeptide having the amino acid sequence of SEQ ID NO:4 differs from the wild-type *C. rugosa* lipase 3 by the N-terminal peptide and 5 amino acids (i.e., A1V; P148H; I395V; F396L; I399L). The polypeptide having the amino acid sequence of SEQ ID NO:6 differs from the wild-type *C. rugosa* lipase 4 by the N-terminal peptide and 1 amino acid (i.e., A1V). The polypeptide having the amino acid sequence of SEQ ID NO:8 differs from the wild-type *C. rugosa* lipase 5 by the N-terminal peptide and 5 amino acids (i.e., A1V; K147E; T256A; G346D; S492Y). The polypeptide having the amino acid sequence of SEQ ID NO:10 differs from the wild-type *C. rugosa* lipase 1 by the N-terminal peptide and 17 amino acids (i.e., A1V; L184M; I253V; N265D; Y320F; N330S; I331V; Q357E; E360Q; K363T; I374L; G383Q; I395V; G414A; T416I; L417H; F517S).

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REMARKS

Applicants hereby submit that the enclosures fulfill the requirements under 37 C.F.R. §1.821-1.825. The amendments in the specification merely insert the paper copy of the Sequence Listing and sequence identifiers in the specification. No new matter has been added.

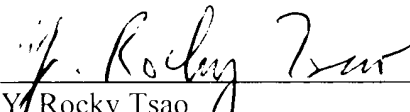
Attached hereto is a marked-up version of the changes made to the specification by the current amendment.

Please apply any charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: _____

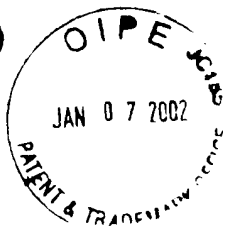
10-24-01



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"Version With Markings to Show Changes Made"

In the specification:

Paragraph beginning at page 14, line 4, has been amended as follows:

The polypeptide having the amino acid sequence of SEQ ID NO:2 differs from the wild-type *C. rugosa* lipase 2 a N-terminal peptide (i.e., SMNSRGPAGRLGS (SEQ ID NO:11)), and 4 amino acids (i.e., A1V; T35S; R78L; H79D). The polypeptide having the amino acid sequence of SEQ ID NO:4 differs from the wild-type *C. rugosa* lipase 3 by the N-terminal peptide and 5 amino acids (i.e., A1V; P148H; I395V; F396L; I399L). The polypeptide having the amino acid sequence of SEQ ID NO:6 differs from the wild-type *C. rugosa* lipase 4 by the N-terminal peptide and 1 amino acid (i.e., A1V). The polypeptide having the amino acid sequence of SEQ ID NO:8 differs from the wild-type *C. rugosa* lipase 5 by the N-terminal peptide and 5 amino acids (i.e., A1V; K147E; T256A; G346D; S492Y). The polypeptide having the amino acid sequence of SEQ ID NO:10 differs from the wild-type *C. rugosa* lipase 1 by the N-terminal peptide and 17 amino acids (i.e., A1V; L184M; I253V; N265D; Y320F; N330S; I331V; Q357E; E360Q; K363T; I374L; G383Q; I395V; G414A; T416I; L417H; F517S).